

APPLICATION FORM ACTING TRUSTEE RSE LICENCE

Trustees applying for an acting trustee RSE licence under section 29C of the *Superannuation Industry (Supervision) Act 1993* and proposing to be appointed by APRA under s. 134.

Please refer to the APRA Instruction guide – Application Form – RSE licence for guidance on the attachments to provide in this application form.

PART A - GENERAL INFORMATION

Application details

DRAFT RSE licence application								
Is this a draft RSE licence application	on? Yes No							
A1 - Licence class								
This application is for the following	licence class (check box):							
Acting Trustee Licence								
A2 - Applicant								
This application is being submitted	for the following type of Applicant (check box):							
Corporation								
Office use only.								
	Part A continues on the next page							

A3 - Contact details



PART A - GENERAL INFORMATION (CONTINUED)

Contact person - primary Title Mr Mrs Other Ms Name Position held Telephone numbers Direct business number Mobile number Facsimile number Email Contact person – secondary Title Other Mr Mrs Ms Name Position held Telephone numbers Direct business number Mobile number Facsimile number Email



PART A - GENERAL INFORMATION (CONTINUED)

A4 – Corporation details																	
Name of corporation																	
Trading name(s)																	
, and the second																	
ABN																	
Registered address																	
Street address																	
(if same as registered address, write "as above")																	
Postal address																	
(if same as registered address, write "as above")																	
Website																	
Corporation ownership structure (check box)		Fi	inar	ncia	al s	ervi	ces	S C0	rpc	rat	ion	OW	ner	shi	р		
(Check box)		0	the	r٥١	wne	rsh	nip 1	type	e –	exp	lair	n be	elov	V			
	Othe	erov	vner	ship	typ	e – e	expla	ain									
Historical ASIC company search		A	ttac	he	d												



Responsible person details

A5 - Responsible person details - Director

(Complete this section for each director)

Title	Mr		Mrs	;	Ms)ther
Name of Director								
Date of birth	/	/						
Former name(s)								
Position of Director								
Curriculum vitae	Attached	ł						
Employer name								
Postal address								
Telephone numbers								
Direct business number								
Mobile number								
Facsimile number								
Email								
Nationality	Attached	ł						
Australian residency	Attached	ł						

FORM – ACTING TRUSTEE RSE LICENCE



Responsible person details

A5 - Responsible person details - Director (continued)

Date of appointment		
Directorships and shareholdings (check box)	Yes – complete section B7	No
Financial benefit (check box)	Yes – complete section B7	No
Fit and proper assessment	Attached	
Disqualified person status	Attached	



Responsible person details

(Complete this section if applicable)

A6 - Responsible person details - Proposed RSE auditor

Title Mr Ms Other Date of birth Former name(s) Organisation name ABN Postal address Telephone numbers Direct business number Mobile number Facsimile number Email Date of appointment (where appointed) RSE auditor independence Attached Fit and Proper assessment Attached Additional fitness and propriety criteria applying to RSE auditors Attached Attached RSE auditor declaration



Responsible person details

A7 - Responsible person details - Proposed RSE actuary

(Complete this section if applicable) Title Mr Other Mrs Ms Name of proposed RSE actuary Date of birth Former name(s) Organisation name ABN Postal address Telephone numbers Direct business number Mobile number Facsimile number Email Date of appointment (where appointed) Attached Fit and Proper assessment Additional fitness and propriety Attached criteria applying to RSE auditors

FORM – ACTING TRUSTEE RSE LICENCE



General applicant details

A8 - Australian financial services licence (AFSL)

(Complete this section if applicable)

Name of AFSL holder	
ABN	
AFSL number	
Date last issued	
AFSL	Attached

FORM – ACTING TRUSTEE RSE LICENCE



General applicant details

A9 - Trustee insurance

(Complete this section for each insurance policy)

Class of insurance	
Name of the insurer	
ABN	
Name of the insured	
Nume of the insured	
Period of insurance	/ / / to
r errod er medranes	
Fidelity cover	Yes No
Fraud cover	Yes No
Indemnity limits	Attached
Indemnity insurance policy	Attached



General applicant details

A10 - Other business

(Complete this section if applicable)

Name of company / business										
. ,										
Trading name(s)										
ABN										
Description of business										
Applicant's association with business										
Registered address										
Negistered address										
Street address										
(if same as registered address, write "as above")										
Postal address										
(if same as registered address, write "as above")										



General applicant details

A11 - Controlling influence - corporation

(Complete this section if applicable)

Name of corporation															
ABN															
Relationship to Applicant															
Registered address															
Street address															
(if same as registered address, write "as above")															
Postal address (if same as registered address, write "as above")															
(II same as registered address, write as above)															
Name of contact person															
Telephone numbers															
Direct business number															
Mobile number															
Mobile Humber															
Facsimile number															
Email															
Website															
AAEDOIG															
Corporation's controlling influence	A	ttac	he	d			En	nd of	Par	t A -	- Gei	nera	l Inf	orm	atior



PART B - LIKELY COMPLIANCE WITH PRUDENTIAL STANDARDS

B1 – Prudential Standard SPS 114 Operational Risk Financial Requirement

BI.I URFR	
ORFR strategy	Deemed by appointment (no attachment required)
B2 – Prudential Standard SPS 220 Risk	Management
B2.1 Risk management framework	
Risk appetite statement	Attached
Risk management strategy as Acting Trustee	Attached
Risk management policies and procedures	Attached
B2.2 Adequacy of resources	
Undertaking from Applicant's parent on financial position of Applicant	Attached
Human resources – adequate resources	Attached
Technical resources – adequate resources	Attached
B4 - Prudential Standard SPS 231 Outso	ourcing
B4.1 Outsourcing policy	
Outsourcing policy	Deemed by appointment (no attachment required)
B3 – Prudential Standard SPS 232 Busin	ness Continuity Management
B3.1 Business continuity management	
Statement of Business continuity	Attached
B5 – Prudential Standard SPS 250 Insur	ance in Superannuation
B5.1 Insurance Management Framework	
Statement of Insurance arrangements	Deemed by appointment (no attachment required)
	Part R continues on the part page



PART B – LIKELY COMPLIANCE WITH PRUDENTIAL STANDARDS (CONTINUED)

B6 - Prudential Standard SPS 310 Audi	t and Related Matters
B6.1 Proposed appointed auditor	
Has a proposed RSE auditor been appointed?	Yes – also complete section A8 No
Terms of engagement (if available)	Attached
B7 - Prudential Standard SPS 510 Gove	rnance
B7.1 Governance – Board	
Board charter	Attached
Board delegated authority	Attached
Board skills	Attached
B8 - Prudential Standard SPS 520 Fit a	nd Proper
Fit and proper policy	Attached
Responsible person competencies	Attached
B9 - Prudential Standard SPS 521 Conf	licts of Interest
Conflicts management policy	Attached
Conflicts management role statements	Attached
Register of relevant duties	Attached
Register of relevant interests	Attached
B10 - Prudential Standard SPS 530 Inve	estment Governance
Investment governance arrangements	Directions provided by APRA on appointment (no attachment required)
B11 - Prudential Standards - Additiona	l matters
Additional matters demonstrating likely compliance with Prudential Standards	Attached
	End of Part B – Likely Compliance with Prudential Standards



PART C - ATTESTATIONS

Attestation A - Corporation

The Corporation attests that each of the statements (i) to (ii) in this certificate is true and correct:

(i) Information provided

The Applicant attests that the information provided as part of this application complies with the relevant prudential standards and the relevant sections of the SIS Act.

The Applicant agrees to comply with written requirements that are given to it by APRA before an RSE licence is granted.

In addition, the Applicant confirms that any changes to the information provided in this application will be provided to APRA as soon as practicable after making the modification.

(ii) Further information

The applicant acknowledges that APRA may ask for more information. The applicant agrees that it will promptly provide any information that APRA reasonably considers is necessary in order for the application to proceed. The applicant also agrees to provide any other information which APRA reasonably considers is necessary for deciding whether an acting trustee RSE licence is granted, should remain in force.

Corporations

At least two directors of the corporation must sign the attestation.

Name	
Position	
Signature	SIGN HERE
Date	
Name	
Position	
Signature	SIGN HERE
Date	Part C continues on the next page



PART C - ATTESTATIONS (CONTINUED)

Notes

Penalties for false information

Applicants should note that giving false or misleading information is a serious offence (see s.136.1, s.137.1 and s.137.2 of the *Criminal Code Act 1995*). Where information is disclosed to APRA as part of this application, APRA may in turn disclose that information in any of the circumstances permitted by s.56 of the *Australian Prudential Regulation Authority Act 1998*.

Is there a prescribed fee?

There is no requirement for an application fee in relation to this class of licence.

Where to lodge the application form

Applications and the prescribed fee should be mailed to:

Australian Prudential Regulation Authority GPO Box 9836

in all capital cities (except Hobart and Darwin)

End of Form.

